(Rel.80-7/99 Pub.605)

FORM 4-1

4-3

PATENT

Practitioner's Docket No.

01288

Preliminary Classification:

Proposed Class:

Subclass:

NOTE: "All applicants are requested to include a preliminary classification on newly filed patent applications. The preliminary classification, preferably class and subclass designations, should be identified in the upper right-hand corner of the letter of transmittal accompanying the application papers, for example 'Proposed Class 2, subclass 129.' " M.P.E.P. § 601, 7th ed.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Patent Application Assistant Commissioner for Patents Washington, D.C. 20231

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s):

Jesus Matey

WARNING: 37 C.F.R. § 1.41(a)(1) points out:

"(a) A patent is applied for in the name or names of the actual inventor or inventors.

"(1) The inventorship of a nonprovisional application is that inventorship set forth in the oath or declaration as prescribed by § 1.63, except as provided for in § 1.53(d)(4) and § 1.63(d). If an oath or declaration as prescribed by § 1.63 is not filed during the pendency of a nonprovisional application, the inventorship is that inventorship set forth in the application papers filed pursuant to § 1.53(b), unless a petition under this paragraph accompanied by the fee set forth in § 1.17(i) is filed supplying or changing the name or names of the inventor or inventors."

For (title):

TELEVISION SYSTEM

CERTIFICATION UNDER 37 C.F.R. § 1.10*

(Express Mail label number is mandatory.) (Express Mail certification is optional.)

I hereby certify that this New Application Transmittal and the documents referred to as attached therein are being deposited with the United States Postal Service on this date 31 May as "Express Mail Post Office to Addressee," mailing Label Number $\underline{EL7796}$ dressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

> name of person mailing paper (type or print

Signature of person mailing paper

WARNING: Certificate of mailing (first class) or facsimile transmission procedures of 37 C.F.R. § 1.8 cannot be used to obtain a date of mailing or transmission for this correspondence.

*WARNING: Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. § 1.10(b).

> "Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

> > (New Application Transmittal [4-1]—page 1 of 11)

1. Type of Application This new application is for a(n) (check one applicable item below) □ X Original (nonprovisional) □ Design ☐ Plant WARNING: Do not use this transmittal for a completion in the U.S. of an International Application under 35 U.S.C. § 371(c)(4), unless the International Application is being filed as a divisional, continuation or continuation-in-part application. WARNING: Do not use this transmittal for the filing of a provisional application. NOTE: If one of the following 3 items apply, then complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF A PRIOR U.S. APPLICATION CLAIMED and a NOTIFICATION IN PARENT APPLICATION OF THE FILING OF THIS CONTINUATION APPLICATION. Divisional. Continuation. ☐ Continuation-in-part (C-I-P).

2. Benefit of Prior U.S. Application(s) (35 U.S.C. §§ 119(e), 120, or 121)

NOTE: A nonprovisional application may claim an invention disclosed in one or more prior filed copending nonprovisional applications or copending international applications designating the United States of America. In order for a nonprovisional application to claim the benefit of a prior filed copending nonprovisional application or copending international application designating the United States of America, each prior application must name as an inventor at least one inventor named in the later filed nonprovisional application and disclose the named inventor's invention claimed in at least one claim of the later filed nonprovisional application in the manner provided by the first paragraph of 35 U.S.C. § 112. Each prior application must also be:

- (i) An international application entitled to a filing date in accordance with PCT Article 11 and designating the United States of America; or
 - (ii) Complete as set forth in § 1.51(b); or
- (iii) Entitled to a filing date as set forth in § 1.53(b) or § 1.53(d) and include the basic filing fee set forth in § 1.16; or
- (iv) Entitled to a filing date as set forth in § 1.53(b) and have paid therein the processing and retention fee set forth in § 1.21(f) within the time period set forth in § 1.53(f).

37 C.F.R. § 1.78(a)(1).

(Rel.80-7/99 Pub.605)

NOTE: If the new application being transmitted is a divisional, continuation or a continuation-in-part of a parent case, or where the parent case is an International Application which designated the U.S., or benefit of a prior provisional application is claimed, then check the following item and complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.

WARNING: If an application claims the benefit of the filing date of an earlier filed application under 35 U.S.C. §§ 120, 121 or 365(c), the 20-year term of that application will be based upon the filing date of the earliest U.S. application that the application makes reference to under 35 U.S.C. §§ 120, 121 or 365(c). (35 U.S.C. § 154(a)(2) does not take into account, for the determination of the patent term, any application on which priority is claimed under 35 U.S.C. §§ 119, 365(a) or 365(b).) For a c-i-p application, applicant should review whether any claim in the patent that will issue is supported by an earlier application and, if not, the applicant should consider canceling the reference to the earlier filed application. The term of a patent is not based on a claim-by-claim approach. See Notice of April 14, 1995, 60 Fed. Reg. 20,195, at 20,205.

(New Application Transmittal [4-1]—page 2 of 11)

FORM 4-1 4-4

WARNING:	When the last day of pendency of a provisional application falls on a Saturday, Sunday, or Federal holiday within the District of Columbia, any nonprovisional application claiming benefit of the provisional application must be filed prior to the Saturday, Sunday, or Federal holiday within the District of Columbia. See 37 C.F.R. § 1.78(a)(3).
	The new application being transmitted claims the benefit of prior U.S. application(s). Enclosed are ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.
3. Papers	s Enclosed
	uired for filing date under 37 C.F.R. § 1.53(b) (Regular) or 37 C.F.R. § 1.153 ign) Application
7 Pa	ges of specification
2 Pa	ges of claims
1 Sh	eets of drawing
WARNING:	DO NOT submit original drawings. A high quality copy of the drawings should be supplied when filing a patent application. The drawings that are submitted to the Office must be on strong, white, smooth, and non-shiny paper and meet the standards according to § 1.84. If corrections to the drawings are necessary, they should be made to the original drawing and a high-quality copy of the corrected original drawing then submitted to the Office. Only one copy is required or desired. For comments on proposed then-new 37 C.F.R. § 1.84, see Notice of March 9, 1988 (1990 O.G. 57-62).
inv the on	entifying indicia, if provided, should include the application number or the title of the invention, entor's name, docket number (if any), and the name and telephone number of a person to call if Office is unable to match the drawings to the proper application. This information should be placed the back of each sheet of drawing a minimum distance of 1.5 cm. (5/8 inch) down from the top the page " 37 C.F.R. § 1.84(c)).
	(complete the following, if applicable)
	The enclosed drawing(s) are photograph(s), and there is also attached a "PETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S)." C7 C.F.R. § 1.84(b).
	formal
XΧ	informal
B. Othe	er Papers Enclosed
2 Pa	ges of declaration and power of attorney
_ <u>1</u> Pa	ges of abstract
Otl	her
4. Additio	nal papers enclosed
	Amendment to claims
,	Cancel in this applications claims before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)
	Add the claims shown on the attached amendment. (Claims added have been numbered consecutively following the highest numbered original claims.)
æ	Preliminary Amendment
	Information Disclosure Statement (37 C.F.R. § 1.98)
	Form PTO-1449 (PTO/SB/08A and 08B)
	Citations

(New Application Transmittal [4-1]—page 3 of 11)

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L	J De	claration of Biological Deposit
	per	omission of "Sequence Listing," computer readable copy and/or amendment taining thereto for biotechnology invention containing nucleotide and/or ino acid sequence.
Ε] Autive	thorization of Attorney(s) to Accept and Follow Instructions from Representa-
] Sp	ecial Comments
Ε	Oth	ner
5. Dec	claration	on or oath (including power of attorney)
NOTE:	the pri by all applica the sig by a si being declara person	ly executed declaration is not required in a continuation or divisional application provided that or nonprovisional application contained a declaration as required, the application being filed is or fewer than all the inventors named in the prior application, there is no new matter in the ation being filed, and a copy of the executed declaration filed in the prior application (showing nature or an indication thereon that it was signed) is submitted. The copy must be accompanied tatement requesting deletion of the names of person(s) who are not inventors of the application filed. If the declaration in the prior application was filed under § 1.47, then a copy of that ation must be filed accompanied by a copy of the decision granting § 1.47 status or, if a nonsigning under § 1.47 has subsequently joined in a prior application, then a copy of the subsequently ed declaration must be filed. See 37 C.F.R. §§ 1.63(d)(1)–(3).
NOTE:	is direct abbrev country	aration filed to complete an application must be executed, identify the specification to which in ted, identify each inventor by full name including family name and at least one given name, without ilation together with any other given name or initial, and the residence, post office address and y or citizenship of each inventor, and state whether the inventor is a sole or joint inventor. 37 § 1.63(a)(1)-(4).
NOTE:	as pres as pres is that this pa	eventorship of a nonprovisional application is that inventorship set forth in the oath or declaration scribed by § 1.62, except as provided for in § 1.53(d)(4) and § 1.63(d). If an oath or declaration scribed by § 1.63 is not filed during the pendency of a nonprovisional application, the inventorship inventorship set forth in the application papers filed pursuant to § 1.53(b), unless a petition under tragraph accompanied by the fee set forth in § 1.17(i) is filed supplying or changing the name ties of the inventor or inventors." 37 C.F.R. § 1.41(a)(1).
Ж	∄ En	closed
	Exe	ecuted by
		(check all applicable boxes)
	**	inventor(s).
		legal representative of inventor(s). 37 C.F.R. §§ 1.42 or 1.43.
		joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached.
		□ This is the petition required by 37 C.F.R. § 1.47 and the statement required by 37 C.F.R. § 1.47 is also attached. See item 13 below for fee.
] No	t Enclosed.
NOTE:	the U.S may be	the filing is a completion in the U.S. of an International Application or where the completion on S. application contains subject matter in addition to the International Application, the application of treated as a continuation or continuation-in-part, as the case may be, utilizing ADDED PAGE EW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION CLAIMED.
		Application is made by a person authorized under 37 C.F.R. § 1.41(c) on behalf of all the above named inventor(s).
		(New Application Transmittal [4-1]—page 4 of 11

(The declaration or oath, along with the surcharge required by 37 C.F.R. § 1.16(e) can be filed subsequently).
Showing that the filing is authorized. (not required unless called into question. 37 C.F.R. § 1.41(d))
6. Inventorship Statement
WARNING: If the named inventors are each not the inventors of all the claims an explanation, including the ownership of the various claims at the time the last claimed invention was made, should be submitted.
The inventorship for all the claims in this application are:
The same.
or
□ Not the same. An explanation, including the ownership of the various claims at the time the last claimed invention was made,
is submitted.
☐ will be submitted.
7. Language
NOTE: An application including a signed oath or declaration may be filed in a language other than English. An English translation of the non-English language application and the processing fee of \$130.00 required by 37 C.F.R. § 1.17(k) is required to be filed with the application, or within such time as may be set by the Office. 37 C.F.R. § 1.52(d).
×⊠ English
☐ Non-English
☐ The attached translation includes a statement that the translation is accurate. 37 C.F.R. § 1.52(d).
3. Assignment
An assignment of the invention to Pace Microtechnology Plc
is attached. A separate 本 "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING NEW PATENT APPLICATION" or 口 FORM PTO 1595 is also attached.
☐ will follow.
NOTE: "If an assignment is submitted with a new application, send two separate letters-one for the application and one for the assignment." Notice of May 4, 1990 (1114 O.G. 77-78).
WARNING: A newly executed "CERTIFICATE UNDER 37 C.F.R. § 3.73(b)" must be filed:when a continuation-in-part application is filed by an assignee. Notice of April 30, 1993, 1150 O.G. 62-64.
(New Application Transmittal: [4-1]—page 5 of 11)

	application(s)		31	Mav	2000
GB Country	0013045.0 Appir	n. No.	JI	Hay	Filed
Country	Appli	n. No.		·	Filed
Country	• •	n. No.			Filed
rom which priority is o					
☐ is (are) attac	neu.				
NOTE: The foreign applic	ation forming the basis for t F.R. § 1.55(a) and 1.63.	the claim for	priority must l	be referr	ed to in the oath
U.S. application of § 120 is itself enti PAGES FOR NEW CLAIMED.	ny foreign priority for which to relational Application from the to priority from a prior for APPLICATION TRANSMITT.	m which this reign applica	application classion, then com	aims ben plete ite	nefit under 35 U.S. m 18 on the ADDE
	(37 C.F.R. § 1.16)				
A. Regular app	lication				
	CLAIMS A	S FILED			
Number filed	Number E	Extra	Rate		Basic Fee 2.F.R. § 1.16(a) \$ 760:00 71
Total Claims (37 C.F.R. § 1.16(c))	- 20 =	×	\$ 18.00		
Independent	20		Ψ 10.00		
Claims (37 C.F.R.					
§ 1.16(b))	- 3 =	×	\$ 78.00		
Multiple dependent cla if any (37 C.F.R. § 1.		+	\$260.00		
☐ Amendment	cancelling extra claim	ns is enclo	sed.		
	deleting multiple-depe			i.	
	a claims is not being ;				
NOTE: If the fees for extra prior to the expira	a claims are not paid on filing to ation of the time period set forcion ciency. 37 C.F.R. § 1.16(d).	they must be	paid or the clai	ims canc and Tra	elled by amendme demark Office in a
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	Filing Fee Calcu	uiation			
B. ☐ Design app	Filing Fee Calculication FOR.R. § 1.16(f)	ulation			

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3. Fee	Payr	nent Being Made at This Time			
	Not	Enclosed			
		No filing fee is to be paid at this time. (This and the surcharge required by 37 C.F.R. subsequently.)	§ 1.16(e)	can be	paid
xΩ	Enc	losed			
	Κk	Filing fee	\$	710	
	E X	Recording assignment (\$40.00; 37 C.F.R. § 1.21(h)) (See attached "COVER SHEET FOR ASSIGNMENT ACCOMPANYING NEW APPLICATION".)	\$	40	
		Petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached (\$130.00; 37 C.F.R. §§ 1.47 and 1.17(i))	\$		******************
		For processing an application with a specification in a non-English language (\$130.00; 37 C.F.R. §§ 1.52(d) and 1.17(k))	\$		
		Processing and retention fee (\$130.00; 37 C.F.R. §§ 1.53(d) and 1.21(l))	\$		
•		Fee for international-type search report (\$40.00; 37 C.F.R. § 1.21(e))	\$		
fa 3: ei	iling to 7 C.F.I ther th	P. § 1.21() establishes a fee for processing and retaining any app to complete the application pursuant to 37 C.F.R. § 1.53(f) and t R. §§ 1.53 and 1.78(a)(1), indicate that in order to obtain the ben the basic filing fee must be paid, or the processing and retention if year from notification under § 53(f).	his, as well a efit of a prior	s the char U.S. appli	nges to ication,
		Total fees enclosed	\$		
		of Payment of Fees			
⊠ k		ck in the amount of \$750	-	-	
	\$	arge Account No	. in the	amour	it of
		uplicate of this transmittal is attached.			
	es sh 1,22(1	ould be itemized in such a manner that it is clear for which purpo b).	se the fees a	re paid. 37	U.F.R.

(New Application Transmittal [4-1]—page 8 of 11)

C.		Plant application				
		(\$480.00—37 C.F	.R. § 1.16(g))			
			Filing fee calcu	ılation		\$
11.	Sma	II Entity Statemer	nt(s)			
		Statement(s) that is (are) attached.	this is a filing by	a small entity (under 37 C	F.F.R. § 1.9 and 1.27
WAF	RNING	the status is availab affect any other ap indirectly dependent refiling of an applica a continued prosect a new determination application. A nonpapplication or in the reference to the statement in the pridesired. The payment	le and desired. Statu- olication or patent, tupon the application tion under § 1.53 as tion application under as to continued entrovisional application plication, or a reissur- patent if the nonpro- patement in the prior or application or in the	is as a small entity including application or patent in which a continuation, diver \$ 1.53(d)), or the itlement to small endication may by issonal application or in the patent and states assic statutory filing	in one appliitions or pate the status less in the status less in the status for the status for the rely on a status or the reiss the patent of the status as a small status as	cation or patent in which cation or patent does not not which are directly or nas been established. The inuation-in-part (including issue application requires or the continuing or reissue C. § 119(e), 120, 121, or atement filed in the prior sue application includes a per includes a copy of the li entity is still proper and reated as such a reference
WAF	RNING	-	make the required s	•	•	signing the statement 19.03, 6th ed., rev. 2, July
		(co	emplete the folio	wing, if applica	able)	
		Status as a small	entity was clair	ned in prior ap	plication	
						, from which benefit
		is being claimed		on under:		
		35 U.S.C. § □	119(e), 120,			
			120, 121,			
			365(c),			
		and which statu	s as a small en	tity is still prop	er and de	sired.
		☐ A copy of t	ne statement in	the prior appli	cation is ir	ncluded.
		Filing Fee Ca	lculation (50% c	of A, B or C ab	ove)	
			\$			
NOT	aı		s of the date of tim	ely payment of a		shed and a refund request two-month period is not
12.	Requ	uest for Internation	nal-Type Searc	h (37 C.F.R. §	1.104(d))	
		•	(complete, i	if applicable)		
		Please prepare ar when national ex				pplication at the time

application.

	GB		0013045.0	31 May 2000
		Country	Appin. no.	Filed on
The		copy(ies) ha		
	filed	on	•	tion 0 /, which was
	B) SKX	ey allached	x will follow.	may have been communicated to the PTO by
	stag pro- doc to n enti the stag	ge is not entere secution of a c suments from the equest transfer, or and make a l priority, docum ge may not be	ed. Therefore, such certified cop- continuing application. An alterna- ne folders and transfer them to the retrieve the folders, make suitable record of such copies in the Com- nents; in: folders of international a relied on. Notice of April 28, 15	
19.			opendency of Prior A	
NOTE	respons) finds it usefu e is filed with er 5, 1985 (10	the papers constituting the fill	in the prior application extending the term for ing of the continuation application. Notice of
A.	☐ Exte	nsion of tim	ne in prior application	
	(This item	must be o if the p	completed and the papers period set in the prior app	s filed in the prior application, plication has run.)
	☐ A pe	etition, fee a	and response extends the	term in the pending prior application
		A copy of	the petition filed in prior a	application is attached.
B.	☐ Con	ditional Pet	ition for Extension of Time	e in Prior Application
		(comple	te this item, if previous it	em not applicable)
				ne is being filed in the pending prio

 $\hfill\square$ A copy of the conditional petition filed in the prior application is attached.

絃	Incor	poration	by	reference	of	added	pages
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(check the following item if the application in this transmittal claims the benefit of prior U.S. application(s) (including an international application entering the U.S. stage as a continuation, divisional or C-I-P application) and complete and attach the ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED)

Æ Jk	Plus Added Pages for New Application Transmittal Where Benefit of Prior USAX Upplication(s) Claimed
	Number of pages added1
	Plus Added Pages for Papers Referred to in Item 4 Above
	Number of pages added
	Plus added pages deleting names of inventor(s) named in prior application(s) who is/are no longer inventor(s) of the subject matter claimed in this application.
	Number of pages added
	Plus "Assignment Cover Letter Accompanying New Application"
	Number of pages added
State	ment Where No Further Pages Added
-	no further pages form a part of this Transmittal, then end this Transmittal with is page and check the following item)
	This transmittal ends with this page.

15. Authorization to Charge Additional Fees

WARNING: If no fees are to be paid on filing, the following items should not be completed.

WARNING: Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges, if extra claim charges are authorized.

- The Commissioner is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Account No. 08-1500 ______:
 - ** 37 C.F.R. § 1.16(a), (f) or (g) (filing fees)
 - 图 37 C.F.R. § 1.16(b), (c) and (d) (presentation of extra claims)

NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 C.F.R. § 1.16(d)), it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

- 37 C.F.R. § 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)
- xx 37 C.F.R. § 1.17(a)(1)-(5) (extension fees pursuant to § 1.136(a)).
- ★② 37 C.F.R. § 1.17 (application processing fees)

NOTE: ". . . A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under § 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of the fee set forth in § 1.17(a) will also be treated as a constructive petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission." 37 C.F.R. § 1.136(a)(3).

- ☐ 37 C.F.R. § 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. § 1.311(b))
- NOTE: Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance. 37 C.F.R. § 1.311(b).
- NOTE: 37 C.F.R. § 1.28(b) requires "Notification of any change in status resulting in loss of entitlement to small entity status must be filed in the application . . . prior to paying, or at the time of paying, . . . the issue fee. . . " From the wording of 37 C.F.R. § 1.28(b), (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.

(New Application Transmittal [4-1]-page 9 of 11)

16. Instructions as to Overpayment

NOTE: ". . . Amounts of twenty-five dollars or less will not be returned unless specifically requested within a reasonable time, nor will the payer be notified of such amounts; amounts over twenty-five dollars may be returned by check or, if requested, by credit to a deposit account." 37 C.F.R. § 1.26(a).

□ Refund

Reg. No. 32,840

Tel. No. (918) 587 2000

Customer No. 24118

SIGNATURE OF PRACTITIONER

Mark G. Kachigian (type or print name of attorney)

228 West 17th Place

P.O. Address

Tulsa, OK 74119

(New Application Transmittal [4-1]-page 10 of 11)

(Rel.80—7/99 Pub.605) FORM 4-1 4-12